

Allocation Guidelines/Position Allocation (Determining)

Policy

It is the policy of the DGS to administer the Personnel Classification Plan of the State of California including the allocation of every position to the appropriate classification in the classification plan.

The Classification and Pay (C&P) Analyst shall use allocation guidelines (if existing) or classification specifications to derive from, and be determined by the duties and responsibilities of the position and shall be based on the principle that all positions shall be included in the same classification if:

- the positions are sufficiently similar in respect to duties and responsibilities that the same descriptive title may be used,
 - substantially the same requirements as to education, experience, knowledge, and ability are demanded of incumbents,
 - substantially the same tests of fitness may be used in choosing qualified appointees, and
 - the same schedule of compensation can be made to apply with equity.
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Definition

Allocation guidelines are work requirements/characteristics that can be compared in order to measure the similarity/differences in evaluating the level of jobs.

Purpose

The purpose of utilizing the allocation guidelines and determining the appropriate classification allocation is:

- To supplement and clarify the classification specification, as needed.
 - To differentiate between the various working levels in a classification series.
 - To ensure the consistency of how a particular classification or classifications are allocated and used in various State departments.
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Continued on next page 10.0

Allocation Guidelines/Position Allocation (Determining), Continued

Prerequisites	<p>There are three pre-requisites to determining position allocation:</p> <ul style="list-style-type: none">• The position is set up (approved) in the budget,• Duties are assigned to the position,• The position's organizational placement and relationship are defined.
Criteria	<p>There are two key criteria used to differentiate between positions:</p> <ul style="list-style-type: none">• Type of work, and• Difficulty of work, which may be one of the following levels:<ul style="list-style-type: none">• Entry• Journey• Advanced journey (typically staff specialist positions)• Working supervisor• Line supervisor• Managerial
Basic steps	<p>There are four basic steps in the allocation process:</p> <ol style="list-style-type: none">1. Obtain/gather the pertinent facts, which include:<ul style="list-style-type: none">• Activities of an organization• Organization structure, authority relationships• Class concepts and usage• Duties and responsibilities assigned to the position2. Analyze the facts3. Evaluate the facts4. Determine the facts
Allocation factors	<ul style="list-style-type: none">• Through the use of allocation factors, a position can be broken down into its component parts to be examined in order to determine the appropriate level/classification.• Allocation factors give precision to general and ambiguous terms such as: assist, prepare, supervise, review, complex, etc., which are terms that may be contained in the specification.• Determinations of the degree of difficulty or complexity of the duties and the weight of the responsibilities of a position are conclusions drawn from facts showing the nature of the duties performed, the methods of work involved, the authority exercised, and a variety of other circumstances under which the work is performed.

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure The following table depicts the steps and actions required when appropriately allocating a position.

Note: The Office of Technology Resources (OTR) must review and approve requests for personnel action (RPA) for all information technology (IT) positions funded by another office that report to OTR, which are Division of the State Architect (DSA), Office of State Publishing (OSP), Office of Public School Construction (OPSC), and Professional Services Branch (PSB). Only functional changes to positions that are funded by an office and do not report to OTR require OTR approval (applicable offices are Office of Human Resources (OHR), Office of Fleet Administration (OFA), Business Operations, Policy and Planning Branch (BOPP) and Procurement Division (PD).

Step	Action						
1	<p>C&P Analyst receives a Request for Personnel Action (RPA), which must contain:</p> <ul style="list-style-type: none"> • Justification • Essential functions duty statement • Organization chart <table> <tr> <th>If</th><th>Then</th></tr> <tr> <td>Reclassifying position</td><td> <p>Include both current and proposed:</p> <ul style="list-style-type: none"> • Essential functions duty statements • Organization chart </td></tr> <tr> <td>Requesting review of position PRIOR to submitting RPA</td><td>Position may require desk audit (see Desk Audit section in this manual)</td></tr> </table>	If	Then	Reclassifying position	<p>Include both current and proposed:</p> <ul style="list-style-type: none"> • Essential functions duty statements • Organization chart 	Requesting review of position PRIOR to submitting RPA	Position may require desk audit (see Desk Audit section in this manual)
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2	<p>C&P Analyst gathers classification specification, allocation guidelines and other available documentation in order to conduct analysis, which may include:</p> <ul style="list-style-type: none"> • Previous desk audit • DPA audit • Board Item • Duty statement from another department similar in size and responsibility as the DGS 						

Continued on next page

Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

Step	Action								
3	<p>C&P Analyst analyzes the data gathered in step 2. When reviewing duty statements to determine appropriate allocation the following fundamental classification factors should be identified:</p> <table> <tr> <th>Factor</th><th>Questions to Ask</th></tr> <tr> <td>Tests of fitness needed to evaluate probable success in the position</td><td> <ul style="list-style-type: none"> • Can the same testing procedure be used to evaluate the candidates for this position as for other positions? If it exists, review the job analysis conducted by the Selection Unit (found on the "S" drive) </td></tr> <tr> <td>Education, experience, skills and abilities required (subject matter of the work and the nature of the problems to be solved are indicative of the educational background, and the degree of, skill, mental and analytical ability the individual must bring to the job)</td><td> <ul style="list-style-type: none"> • What kind and what minimum of education and/or experience are needed for reasonable success in the position? </td></tr> <tr> <td>Supervision and guidelines received (refer to Section 170 of the C&P Manual with respect to the meaning of the terms "under supervision," "under general supervision," "under direction," etc.). This factor measures the extent to which tasks performed, actions taken, and decisions made are controlled or limited by supervision or by established law, policy, procedures, guidelines, or technical practices.</td><td> <ul style="list-style-type: none"> • From whom does the employee receive instruction? • What type of instructions are they and how general or detailed? • How is the employee's work controlled; by manuals, rules, regulations and policies? • How much initiative is allowed the employee in planning his/her work? • Is his/her work reviewed during process or only upon completion? • Is his/her work given technical review or is it reviewed only for compliance with administrative matters? </td></tr> </table>	Factor	Questions to Ask	Tests of fitness needed to evaluate probable success in the position	<ul style="list-style-type: none"> • Can the same testing procedure be used to evaluate the candidates for this position as for other positions? If it exists, review the job analysis conducted by the Selection Unit (found on the "S" drive) 	Education, experience, skills and abilities required (subject matter of the work and the nature of the problems to be solved are indicative of the educational background, and the degree of, skill, mental and analytical ability the individual must bring to the job)	<ul style="list-style-type: none"> • What kind and what minimum of education and/or experience are needed for reasonable success in the position? 	Supervision and guidelines received (refer to Section 170 of the C&P Manual with respect to the meaning of the terms "under supervision," "under general supervision," "under direction," etc.). This factor measures the extent to which tasks performed, actions taken, and decisions made are controlled or limited by supervision or by established law, policy, procedures, guidelines, or technical practices.	<ul style="list-style-type: none"> • From whom does the employee receive instruction? • What type of instructions are they and how general or detailed? • How is the employee's work controlled; by manuals, rules, regulations and policies? • How much initiative is allowed the employee in planning his/her work? • Is his/her work reviewed during process or only upon completion? • Is his/her work given technical review or is it reviewed only for compliance with administrative matters?
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Continued on next page 10.3

Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

Step	Action				
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Continued on next page 10.4

Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

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Sensitivity	What is the degree of public, media, and legislative interest and concern in the position?								
4	The C&P Analyst evaluates the data derived from step 3. Note: The tasks performed must be at least 51% of the appropriate or identified classification.								

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure (continued)

Step	Action								
5	The C&P Analyst determines the appropriate allocation and notifies the Personnel Liaison (PL)								
	<table><tr><th>If</th><th>Then</th></tr><tr><td>The documentation (task statements are ambiguous or incomplete, reporting relationships are unclear, or any of the factors discussed in step 3 are unanswered</td><td>The C&P Analyst shall contact the office to obtain the required information</td></tr><tr><td>The position does not appear to meet the allocation standard for the class</td><td>The C&P Analyst will contact the office to discuss alternatives such as<ul style="list-style-type: none">• Changing duties and responsibilities of the position to meet the allocation requested• Determine if the duties and responsibilities of the position meet the allocation standards of another class• Determine if a new class is needed</td></tr><tr><td>The position meets the allocation standard for the class</td><td><ul style="list-style-type: none">• The C&P Analyst will inform the Personnel Liaison (PL) the request is approved.</td></tr></table>	If	Then	The documentation (task statements are ambiguous or incomplete, reporting relationships are unclear, or any of the factors discussed in step 3 are unanswered	The C&P Analyst shall contact the office to obtain the required information	The position does not appear to meet the allocation standard for the class	The C&P Analyst will contact the office to discuss alternatives such as <ul style="list-style-type: none">• Changing duties and responsibilities of the position to meet the allocation requested• Determine if the duties and responsibilities of the position meet the allocation standards of another class• Determine if a new class is needed	The position meets the allocation standard for the class	<ul style="list-style-type: none">• The C&P Analyst will inform the Personnel Liaison (PL) the request is approved.
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Allocation Guidelines/Position Allocation (Determining), Continued

Resources The following table depicts the various resources available regarding allocation guidelines.

Resource	Section
Classification and Pay (C&P) Guide	155, 170, 180, 300-399
Law and Regulation http://www.dpa.ca.gov/statesys/dpa/laws.htm http://www.dpa.ca.gov/statesys/dpa/oalrules.htm	GC 19818-19818.21, 3513(e)
Memo of Understanding (MOU) http://www.dpa.ca.gov/collbarg/contract/bumenu.shtm	Refer to applicable MOU
Responsible Control Agency and Program	DPA
Other:	
Essential Functions Duty Statement Preparation and Construction Manual	http://www.documents.dgs.ca.gov/ohr/GuidesManuals/EFManual10-05Revise.pdf
Personnel Operations Manual	http://www.ohr.dgs.ca.gov/Personnel/POM-TOC.htm
CBID	http://www.documents.dgs.ca.gov/ohr/pom/CBID.pdf